

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
**OKI.639**

In Re Application Of: **Toshio ITO**

Serial No.  
**NEW**

Filing Date  
**FEBRUARY 2, 2004**

Examiner  
**TO BE ASSIGNED**

Group Art Unit  
**TO BE ASSIGNED**

Title: **FERROELECTRIC CAPACITOR AND SEMICONDUCTOR DEVICE HAVING A FERROELECTRIC CAPACITOR**

Address to:  
**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☐ the fee set forth in 37 CFR 1.17(p).

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**FERROELECTRIC CAPACITOR AND SEMICONDUCTOR DEVICE HAVING A  
CAPACITOR**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Director is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

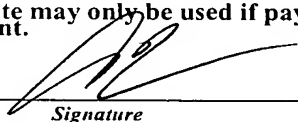
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| I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F: _____) |
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Signature

Dated: FEBRUARY 2, 2004

ADAM C. VOLENTINE  
REG. NO. 33,289

VOLENTINE FRANCOS, P.L.L.C.  
12200 SUNRISE VALLEY DRIVE, SUITE 150  
RESTON, VA 20191

TEL. NO.: (703) 715-0870

CC:

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Docket Number (Optional)

**OKI.639**

Application Number

**NEW**

Applicant(s)

**Toshio ITO**

Filing Date

**February 2, 2004**

Group Art Unit

**To Be Assigned**

**U.S. PATENT DOCUMENTS**

| *EXAMINER<br>INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|-----|-----------------|------|------|-------|----------|-------------------------------|
|                      |     |                 |      |      |       |          |                               |
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**FOREIGN PATENT DOCUMENTS**

|  | REF | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUBCLASS | Translation |    |
|--|-----|-----------------|------------|---------|-------|----------|-------------|----|
|  |     |                 |            |         |       |          | YES         | NO |
|  | A   | 2001-308287     | 11/02/2001 | JAPAN   |       |          | Abstract    |    |
|  | B   | 11-214626       | 08/06/1999 | JAPAN   |       |          | Abstract    |    |
|  |     |                 |            |         |       |          |             |    |
|  |     |                 |            |         |       |          |             |    |
|  |     |                 |            |         |       |          |             |    |
|  |     |                 |            |         |       |          |             |    |

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |   |  |
|--|---|--|
|  | C | S.Y. Lee et al., "A FRAM technology using IT1C and triple metal layers for high performance and high density FRAMs", 1999 Symposium on VLSI Technology Digest of Technical Papers, pgs. 141-142. |
|  |   |  |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.